

HR FUNCTION RISK & INFRASTRUCTURE ASSESSMENT

A structured review of workforce exposure, leadership practices, operational controls, and the systems required to support a high-performance organization.

PREPARED BY

Jenn Resler, J.M.

HR Leadership | Risk & Compliance | People Operations

ASSESSMENT CONTEXT

This sample demonstrates the assessment approach and executive outputs. Actual findings require confidential review of the organization's workforce model, jurisdictions, records, systems, practices, and business priorities.

EXECUTIVE ASSESSMENT FRAMEWORK

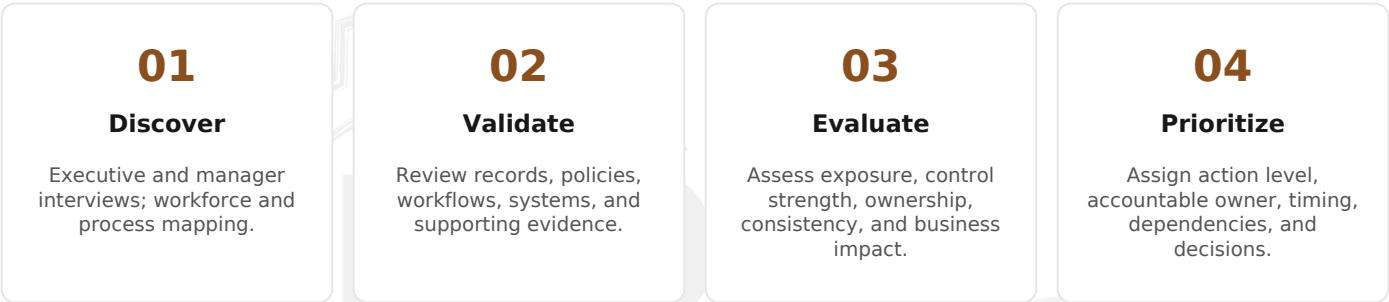
From HR Activity to Organizational Readiness

An effective assessment does more than identify missing policies. It determines whether the HR function gives leadership reliable visibility, supports consistent decisions, protects sensitive information, and can scale with the pace and complexity of the business.

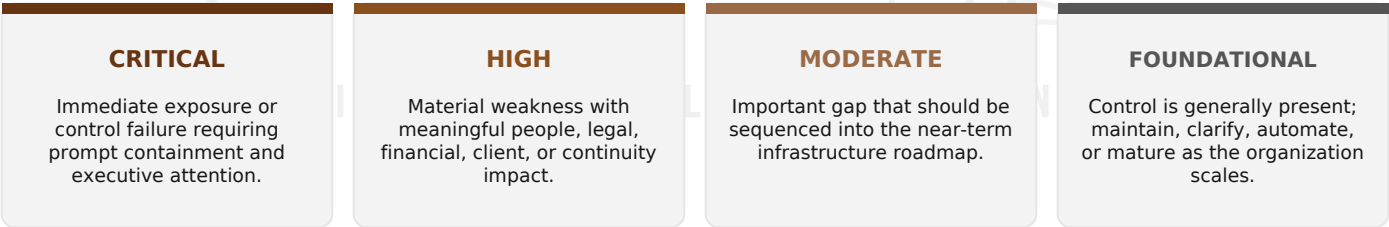
PRIMARY OBJECTIVE

Give executive leadership a prioritized, evidence-based view of material workforce risk, infrastructure maturity, ownership gaps, and the actions required to stabilize and strengthen the people function.

Assessment Method



Risk & Readiness Rating



Executive Evaluation Lens

- Business impact: revenue, client delivery, reputation, productivity, retention, and leadership capacity.
- People and compliance exposure: employee harm, inconsistent treatment, wage-hour, leave, classification, privacy, and documentation risk.
- Control reliability: clarity of ownership, repeatability, approval authority, access, evidence, escalation, and review cadence.

DOMAINS 01-04

Governance, Workforce & the Employee Lifecycle

The first four domains test whether leadership can make consistent, defensible people decisions from hiring through performance and separation.

01 HR Governance & Operating Model

Determine whether the function has the authority, ownership, capacity, and escalation structure required to serve the business.

- HR mandate, reporting line, decision rights, service expectations, resourcing, and separation of duties.
- Executive and manager roles; counsel touchpoints; recurring reviews; issue escalation and confidentiality protocols.

EVIDENCE Org charts, role descriptions, approval matrices, service workflows, meeting cadence, vendor scope, escalation records.

02 Workforce Structure, Classification & Core Compliance

Validate who performs work, where they work, how they are classified, and which obligations attach to the workforce model.

- Employee and contractor populations, exempt status, job architecture, work locations, scheduling, timekeeping, and remote-work practices.
- Required notices, eligibility practices, accommodations, leave administration, I-9 process, record retention, and jurisdictional triggers.

EVIDENCE Workforce census, agreements, job descriptions, payroll/time records, I-9 files, notices, leave records, policy acknowledgments.

03 Talent Acquisition & Onboarding

Assess whether hiring decisions are timely, consistent, documented, and aligned with role requirements and business capacity.

- Requisition approval, sourcing, candidate evaluation, interview discipline, background checks, offers, compensation approval, and hiring records.
- Preboarding, access provisioning, role clarity, policy acknowledgment, required training, and 30/60/90-day integration checkpoints.

EVIDENCE Requisitions, interview tools, candidate files, offer templates, background-check process, onboarding plans, access and training checklists.

04 Employee Relations, Performance & Separation

Evaluate whether leaders address concerns and performance consistently, promptly, confidentially, and with sufficient documentation.

- Complaint intake, investigation protocol, retaliation safeguards, corrective action, performance reviews, coaching, and manager escalation.
- Separation approvals, final-pay workflow, access removal, property return, exit intelligence, and post-employment obligations.

EVIDENCE Case logs, investigation files, performance records, corrective actions, separation documents, exit data, manager guidance.

DOMAINS 05-08

Controls, Capability & Scalability

The final four domains test whether the HR infrastructure protects information, produces reliable data, supports leaders, and prepares the organization for growth.

05 Compensation, Payroll & Benefits Administration

Review the controls surrounding pay decisions, payroll inputs, deductions, benefit eligibility, and employee communications.

- Compensation philosophy, approval authority, pay equity signals, incentive terms, promotions, adjustments, and market alignment.
- Payroll changes, audit controls, time and attendance, deductions, enrollments, qualifying events, reconciliations, and vendor accountability.

EVIDENCE Pay data, compensation approvals, incentive plans, payroll reports, deduction audits, benefit files, eligibility and reconciliation records.

06 Records, HR Technology, Privacy & Access

Determine whether HR data is accurate, appropriately restricted, recoverable, and capable of supporting decisions and audit needs.

- Personnel-file completeness, medical-file separation, retention, version control, electronic signatures, audit history, and data quality.
- System ownership, permissions, joiner/mover/leaver controls, integrations, reporting, vendor risk, backups, and sensitive-data handling.

EVIDENCE File inventories, access lists, system configurations, audit logs, retention schedules, vendor agreements, data-flow and offboarding records.

07 Manager Capability, Learning & Culture

Assess whether managers have the expectations, tools, skills, and accountability to lead consistently in a high-pressure environment.

- Manager onboarding, training, feedback routines, documentation skills, difficult conversations, delegation, and escalation judgment.
- Behavioral expectations, leadership alignment, employee listening, recognition, communication channels, trust signals, and cultural pressure points.

EVIDENCE Training records, manager tools, review practices, engagement or exit themes, communications, conduct expectations, leadership feedback.

08 Workforce Planning, Continuity & People Analytics

Evaluate whether leadership can anticipate talent needs, protect critical work, and use workforce information to guide business decisions.

- Critical roles, capacity, hiring forecasts, succession, retention exposure, key-person dependencies, cross-training, and contingency coverage.
- Headcount, turnover, vacancy aging, hiring flow, onboarding completion, employee matters, trend definitions, data ownership, and reporting cadence.

EVIDENCE Workforce plans, succession and coverage maps, hiring forecasts, metric definitions, dashboards, turnover data, risk and action registers.

EXECUTIVE OUTPUT

Turning Findings Into an Actionable Leadership Agenda

Each finding is documented with evidence, business impact, control weakness, recommended action, accountable owner, target timing, dependencies, and the leadership decision required. This prevents the assessment from becoming a static list of observations.

Prioritization Standard

Action Level	When It Applies	Executive Response	Target Window
Contain	Active or imminent exposure; failed control; serious employee or business impact.	Stabilize, preserve evidence, restrict access as needed, engage appropriate counsel or specialist.	Immediate
Correct	Material weakness with a clear owner and practical remediation path.	Approve corrective action, resources, decision authority, and progress review.	0-30 days
Build	Missing or inconsistent infrastructure affecting reliability, scale, or manager execution.	Design and implement the process, tool, training, control, and adoption measure.	31-90 days
Mature	Foundational practice exists but needs better data, automation, governance, or integration.	Sequence into the people roadmap and monitor through defined metrics.	3-12 months

Leadership Deliverables

01 Executive findings brief

Material exposure, key themes, immediate decisions, and the overall readiness position.

02 Risk & action register

Evidence, impact, rating, recommendation, owner, timing, dependencies, and status.

03 Infrastructure maturity map

Current-state strength across all eight domains and the target operating state.

04 Immediate action plan

Containment and corrective priorities for the first 30 days.

05 90-day build roadmap

Sequenced workflows, policies, controls, manager tools, and reporting improvements.

06 6-12 month people roadmap

Workforce planning, leadership capacity, technology, analytics, and maturity priorities.

ASSESSMENT OUTCOME

Leadership receives more than a compliance snapshot: a disciplined view of where risk sits, which controls are dependable, what requires immediate action, and how to build an HR function capable of supporting performance and growth.

Framework note: This illustrative assessment is not legal advice. Scope, ratings, and recommendations must be based on verified organizational evidence and reviewed with qualified counsel when legal interpretation is required.